

APPENDIX E

SAMPLE CONFIGURATION AUDIT CERTIFICATIONS

QUESTIONS THIS APPENDIX WILL ANSWER	Para.
1. What is the appropriate information to be included in a configuration audit certification package?	E.2

E.1 Scope.

This appendix supplements Section 6. It provides illustrative examples of configuration audit certifications.

E.2 Sample Certifications

A Configuration Audit Certification Package is part of the Configuration audit report. Figure E-1 illustrates the composition of a typical audit certification package. Table E-1 provides examples of Audit certification Checklist content including assertions and other information for common FCA and PCA certification topics.

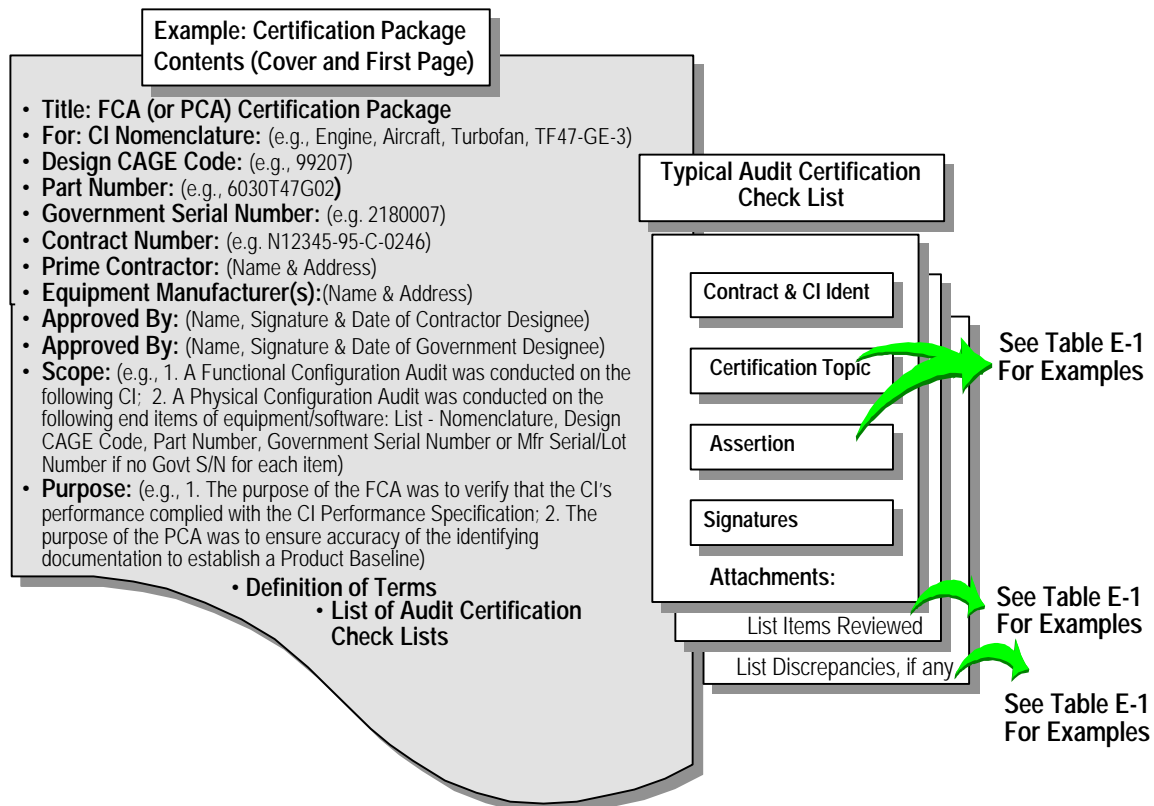


Figure E-1. Contents of a Typical Configuration Audit Certification Package

Table E-1. Audit Certification Checklist Contents

Checklist Topic	Content
Functional Configuration Audit (FCA)	
1. Verification test procedures and results	<ul style="list-style-type: none"> • Assertion: The verification procedures and results have been reviewed to assure that the approved procedures were followed, that the reports are accurate and completely document the CI verifications, and that the design meets the CI performance and system specification requirements. • Check: <ul style="list-style-type: none"> <input type="checkbox"/> Verification procedures and results satisfy the specification requirements and are accepted. See attached comments <input type="checkbox"/> Verification procedures and results are unacceptable. See attached discrepancies • Signatures: <ul style="list-style-type: none"> » FCA Sub-Team Members » FCA Sub-Team Chairperson • Attachments: <ul style="list-style-type: none"> » <u>List of Documentation reviewed</u> <ul style="list-style-type: none"> – CI Nomenclature – Specification No. – Associated Verification Procedure No. – Verifications reviewed: <ul style="list-style-type: none"> • Spec. Para./Verif. Para. • Verification Description • Results » <u>Comments to documentation</u> » <u>Deficiency List</u> <ul style="list-style-type: none"> – Action item identifier – Report Reference – Description of Discrepancy – Responsibility for correction – Place of Inspection – Inspected By
2. Examination of Drawings for On-Order Parts (Applicable for FCA of Hardware CI in accordance with Detail Specification)	<ul style="list-style-type: none"> • Assertion: The drawings and related lists documenting the exact design of those parts which are already on order due to long-lead and initial spare parts provisioning actions have been examined • Check: <ul style="list-style-type: none"> <input type="checkbox"/> The documented design matches the ordered design or the order has been changed to require the delivery of the final FCA design See attached comments <input type="checkbox"/> See attached discrepancies • Signatures: <ul style="list-style-type: none"> » FCA Sub-Team Members » FCA Sub-Team Chairperson • Attachments: <ul style="list-style-type: none"> » <u>List of Documentation reviewed</u> <ul style="list-style-type: none"> – Drawing Number – Title – Revision – Date of Revision – Order Status (e.g., Updated, On-Schedule) » <u>Comments to documentation</u> » <u>List of Discrepancies (See Deficiency List in item 1. above)</u>

Table E-1. Audit Certification Checklist Contents

Checklist Topic	Content
Physical Configuration Audit (PCA)	
1. Specification Review and validation	<ul style="list-style-type: none"> • Assertion: The Product baseline Specification(s) for the CI has been reviewed and validated to assure that it adequately defines the configuration item(s) and the necessary testing, mobility/transportability, and packaging requirements for the production of the CI. • Check: <ul style="list-style-type: none"> <input type="checkbox"/> The Product Baseline Specification(s) is complete and adequately defines the CI. See attached comments <input type="checkbox"/> The Product Baseline Specification(s) are unacceptable. See attached discrepancies • Signatures: <ul style="list-style-type: none"> » FCA Sub-Team Members » FCA Sub-Team Chairperson • Attachments: <ul style="list-style-type: none"> » <u>Hardware Product Baseline</u> <ul style="list-style-type: none"> – Equipment Nomenclature – Spec Identifier – Date of Issue – Top Assembly Dwg. identifier – Dwg. Rev. » <u>Software Product Baseline</u> <ul style="list-style-type: none"> – Software Nomenclature – Spec Identifier & Date of Issue – Version Description Document No. & Date of Issue » <u>Comments to Documentation</u> » <u>List of Discrepancies (See Deficiency List in FCA item 1. above)</u>
2. Drawing Review	<ul style="list-style-type: none"> • Assertion: The drawings have been compared with the equipment to ensure that the latest drawing change letter has been incorporated into the equipment, that part numbers agree with the drawings, and that the drawings are complete and accurately describe the equipment.. See attached indentured listing of all drawings reviewed • Check: <ul style="list-style-type: none"> <input type="checkbox"/> The drawings are complete and accurately describe the equipment. See attached comments <input type="checkbox"/> See attached discrepancies • Signatures: <ul style="list-style-type: none"> » FCA Sub-Team Members » FCA Sub-Team Chairperson • Attachments: <ul style="list-style-type: none"> » <u>List of Drawings reviewed by the Team (Indentured)</u> <ul style="list-style-type: none"> – Drawing Identification (CAGE, Drawing Number Dwg. Rev., Date of Issue & Title » <u>Comments to Documentation</u> » <u>Drawing Review Discrepancies (See Deficiency List in FCA item 1. above)</u> <ul style="list-style-type: none"> – Drawing Identification (See above) – Part Number Identification (Part No. CAGE, SN/Lot No., etc.) – Nature of Discrepancy (Drawing and Equipment did not match)
3. Review of Software Code/Listings (and Other SW Documentation)	<ul style="list-style-type: none"> • Assertion: The deliverable software has been compared to the listing of deliverables contained in the Version Description Document. All required changes have been incorporated into both the specification and the deliverable software and the listing in the specification exactly matches the software being delivered.

Table E-1. Audit Certification Checklist Contents

Checklist Topic	Content
	<ul style="list-style-type: none"> • Check: <ul style="list-style-type: none"> <input type="checkbox"/> The software listings are complete and accurately reflect the digital information contained on the deliverable software medium. See attached comments <input type="checkbox"/> See attached discrepancies • Signatures: <ul style="list-style-type: none"> » FCA Sub-Team Members » FCA Sub-Team Chairperson • Attachments: <ul style="list-style-type: none"> » <u>Listings and design documents reviewed by the team</u> <ul style="list-style-type: none"> – Software Identification (CAGE, Identifier, Media Identifier) – Document Identification (CAGE, Document Number, Rev., Date of Issue & Title) – Nature of Discrepancy » <u>Comments to documentation</u>
4. Acceptance test Procedures and Results	<ul style="list-style-type: none"> • Assertion: The acceptance test procedures have been reviewed for adequacy and the acceptance test results have been reviewed to ensure that the testing has been properly done and certified. • Check: <ul style="list-style-type: none"> <input type="checkbox"/> The acceptance test procedures and results satisfy the specification requirements and are accepted. See attached comments <input type="checkbox"/> The acceptance test procedures and results are unacceptable. See attached discrepancies • Signatures: <ul style="list-style-type: none"> » FCA Sub-Team Members » FCA Sub-Team Chairperson • Attachments: <ul style="list-style-type: none"> » <u>List of Acceptance test procedures reviewed</u> <ul style="list-style-type: none"> – CI Nomenclature – ATP Document Identification (CAGE, Document Number, Rev., Date of Issue & Title) – Status » <u>List of Acceptance test results reviewed</u> <ul style="list-style-type: none"> – CI Nomenclature – Document Identification (CAGE, Document Number, Rev., Date of Issue & Title) – Status
5. Version Description Document	<ul style="list-style-type: none"> • Assertion: The deliverable software listing and related documentation has been compared to the listing of deliverables contained in the VDD to ensure that all documentation required for use of the software is correctly identified in the VDD. • Check: <ul style="list-style-type: none"> <input type="checkbox"/> The VDD is complete and accurately reflects the documentation required to operate and support the software. See attached comments <input type="checkbox"/> See attached discrepancies • Signatures: <ul style="list-style-type: none"> » FCA Sub-Team Members » FCA Sub-Team Chairperson • Attachments: <ul style="list-style-type: none"> » <u>VDD Review Results</u> <ul style="list-style-type: none"> – Software Identification (CAGE, Identifier, Version Identifier) – VDD Document Identification (CAGE, VDD Document or file identifier,

Table E-1. Audit Certification Checklist Contents

Checklist Topic	Content
	Rev/version, Date of Issue & Title) – Nature of Discrepancy » <u>Comments</u>
6. Software Media	<ul style="list-style-type: none"> • Assertion: The medium to be used for delivery of the software has been evaluated to ensure that it matches the requirements specified in the contract and that an executable image of the software can be created in the host computer using the medium. • Check: <ul style="list-style-type: none"> <input type="checkbox"/> The software medium matches the contract requirements and is useable for the purposes intended. See attached comments <input type="checkbox"/> See attached discrepancies • Signatures: <ul style="list-style-type: none"> » FCA Sub-Team Members » FCA Sub-Team Chairperson • Attachments: <ul style="list-style-type: none"> » <u>Software Media Review Results</u> <ul style="list-style-type: none"> – Software Identification (CAGE, Identifier, Version Identifier) – Software media Identification, Date of version/Issue & Title/subject) – Nature of Discrepancy » <u>Comments</u>
7. Software Manuals	<ul style="list-style-type: none"> • Assertion: The final draft manuals generated for loading, operating, and supporting the CSCI have been reviewed to ensure that they reflect the most current changes made to the software • Check: <ul style="list-style-type: none"> <input type="checkbox"/> The manuals are complete and accurately match the current version of the software. See attached comments <input type="checkbox"/> See attached discrepancies • Signatures: <ul style="list-style-type: none"> » FCA Sub-Team Members » FCA Sub-Team Chairperson • Attachments: <ul style="list-style-type: none"> » <u>Manual review results - Listing of manuals reviewed by the team</u> <ul style="list-style-type: none"> – Software Identification (CAGE, Identifier, Media Identifier) – Document Identification (CAGE, Document Number, Rev., Date of Issue & Title) – Nature of Discrepancy » <u>Comments to documentation</u>
8. Examination of Inspection/Receiving Documents (e.g., DD-250)	<ul style="list-style-type: none"> • Assertion: The PCA article(s) has been examined to ensure that it adequately defines the hardware/software and that all shortages, un-incorporated changes, and other deficiencies are covered by an approved Request for Deviation. • Check: <ul style="list-style-type: none"> <input type="checkbox"/> The material inspection/receiving document(s) adequately defines the hardware/software. All shortages, and un-incorporated changes and other deficiencies such as un-accomplished tasks are covered by approved deviation request. <input type="checkbox"/> See attached discrepancies • Signatures: <ul style="list-style-type: none"> » FCA Sub-Team Members

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Checklist Topic	Content
	<p>» FCA Sub-Team Chairperson</p> <ul style="list-style-type: none"> • Attachments: <ul style="list-style-type: none"> » <u>Listing of Parts/Software identified as shortages</u> <ul style="list-style-type: none"> – Part/SW Identifier – Requirement Document – Affected Requirement – Status » <u>Listing of Un-incorporated design changes</u> <ul style="list-style-type: none"> – Change Identifier – Requirement Document – Affected Requirement – Status » <u>Listing of Deviations pertaining to the PCA article</u> <ul style="list-style-type: none"> – Deviation Identifier – Specification & Requirement affected – Approval status/date
9. Program Parts Selection List	<ul style="list-style-type: none"> • Assertion: The parts being used in the hardware design as listed on the drawing parts lists and as installed in the PCA article have been compared to the applicable program parts selection list (PPSL) to ensure that only approved parts are being used • Check: <ul style="list-style-type: none"> <input type="checkbox"/> The CI contains only approved parts listed on the applicable PPSL. See attached comments <input type="checkbox"/> See attached discrepancies • Signatures: <ul style="list-style-type: none"> » FCA Sub-Team Members » FCA Sub-Team Chairperson • Attachments: <ul style="list-style-type: none"> » <u>Listing of PPSL, drawings and hardware items reviewed by the Team</u> <ul style="list-style-type: none"> – PPSL Identifier and date – Document Identification (CAGE, Document Number, Rev., Date of Issue & Title) – Items/Parts inspected – Nature of discrepancy » <u>Comments</u>
10. Contractor's Engineering release and change Control System	<ul style="list-style-type: none"> • Assertion: The contractor's engineering release system and change control procedures have been reviewed to ensure that they are adequate to properly control the processing and formal release of engineering changes. • Check: <ul style="list-style-type: none"> <input type="checkbox"/> The contractor's engineering release system and change control procedures are adequate for processing and formal release of engineering changes. See attached comments <input type="checkbox"/> See attached discrepancies • Signatures: <ul style="list-style-type: none"> » FCA Sub-Team Members » FCA Sub-Team Chairperson • Attachments: <ul style="list-style-type: none"> » <u>List of Discrepancies</u> » <u>Comments</u>

